

IN THE UNITED STATES DISTRICT COURT
FOR THE NORTHERN DISTRICT OF CALIFORNIA
SAN JOSE DIVISION

Securities and Exchange Commission,

NO. C 07-06122 JW

Plaintiff,

JUDGMENT AND INJUNCTION

v.

Carl W. Jasper,

Defendant.

This case was tried to a jury, District Judge James Ware presiding. Attorneys Mark P. Fickes, Erin E. Schneider, and Marc J. Fagel, represented Plaintiff Securities and Exchange Commission ("SEC"). Attorneys Steven M. Bauer and Margaret Tough represented Defendant Carl W. Jasper.

The case was submitted to the jury for decision on eleven claims, as follows:

The First Claim was by Plaintiff against Defendant for Fraud in Connection with the Purchase or Sale of Securities.

The Second Claim was by Plaintiff against Defendant for Use of Instrumentalities in Interstate Commerce to Commit Securities Fraud.

The Third Claim was by Plaintiff against Defendant for Obtaining Money or Property by Means of Securities Fraud.

The Fourth Claim was by Plaintiff against Defendant for False Periodic Reports—Aiding and Abetting.

1 The Fifth Claim was by Plaintiff against Defendant for False Books and Records–Aiding and
2 Abetting.

3 The Sixth Claim was by Plaintiff against Defendant for Inadequate Internal Accounting
4 Controls–Aiding and Abetting.

5 The Seventh Claim was by Plaintiff against Defendant for Circumventing Internal
6 Accounting Controls.

7 The Eighth Claim was by Plaintiff against Defendant for Falsifying Books and Records.

8 The Ninth Claim was by Plaintiff against Defendant for False Statements of Omissions to
9 Accountants and Auditors.

10 The Tenth Claim was by Plaintiff against Defendant for False Certifications.

11 The Eleventh Claim was by Plaintiff against Defendant for False Proxy Statements.

12 The Verdict form required the jury to state its finding with respect to each claim by
13 answering written interrogatories. On April 23, 2010, the jury returned a unanimous verdict on each
14 interrogatory submitted to it. Pursuant to the jury verdict, judgment is entered in favor of Plaintiff
15 on Plaintiff’s First, Second, Fourth, Fifth, Sixth, Eighth, Ninth and Tenth Claims. Judgment is
16 entered in favor of Defendant on Plaintiff’s Third, Seventh, and Eleventh Claims.

17 Defendant Carl W. Jasper shall pay a civil penalty in the amount of \$360,000 within sixty
18 (60) business days after entry of this Judgment. The payment shall be made by certified check, bank
19 cashier’s check, or United States postal money order payable to the Securities and Exchange
20 Commission and shall be delivered or mailed to the Office of Financial Management, Securities and
21 Exchange Commission, Operations Center, 6432 General Green Way, Mail Stop 0-3, Alexandria,
22 Virginia 22312, and shall be accompanied by a letter identifying Carl W. Jasper as Defendant in this
23 action; setting forth the title and civil action number of this action and the name of this Court; and
24 specifying that payment is made pursuant to this Judgment. Defendant shall pay post-judgment
25 interest on any delinquent amounts pursuant to 28 U.S.C. § 1961. The Commission shall remit the
26 funds as paid as a civil penalty pursuant to this paragraph to the United States Treasury.


1 Defendant shall pay \$1,869,639 as forfeiture of bonuses and stock-sale profits within ninety
2 (90) business days after entry of this Judgment. The payment shall be made by certified check, bank
3 cashier's check, or United States postal money order payable to Maxim Integrated Products, Inc., c/o
4 Patrick C. Doolittle, Esq., Quinn Emanuel Urqart & Sullivan, LLP, 50 California Street, 22nd Floor,
5 San Francisco, California 94111, and shall be accompanied by a letter (with a copy of the letter and
6 check, or money order, to the Commission's counsel in this action: Mark P. Fickes, Securities and
7 Exchange Commission, 44 Montgomery Street, Suite 2600, San Francisco, CA 94104) identifying
8 Carl W. Jasper as Defendant in this action; setting forth the title and civil action number of this
9 action and the name of this Court; and specifying that payment is made pursuant to this Judgment.
10 Defendant shall pay post-judgment interest on any delinquent amounts pursuant to 28 U.S.C. § 1961.

11 Defendant Jasper and his agents, servants, employees, attorneys-in-fact, and all persons in
12 active concert or participation with any of them, who receive actual notice of this Judgment, by
13 personal service or otherwise, and each of them, are permanently enjoined and restrained from,
14 directly or indirectly, violating the securities laws or regulations of the United States.

15 Defendant Jasper is prohibited for a period of two years beginning on the date of this Order
16 from acting as an officer or director of any issuer that has a class of securities registered pursuant to
17 Section 12 of the Exchange Act, 15 U.S.C. § 78l, or that is required to file reports pursuant to
18 Section 15(d) of the Exchange Act, 15 U.S.C. § 78o(d).

19 The Clerk shall close this file.
20

21
22 Dated: July 21, 2010


JAMES WARE
United States District Judge

THIS IS TO CERTIFY THAT COPIES OF THIS ORDER HAVE BEEN DELIVERED TO:

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Dated: July 21, 2010

Richard W. Wieking, Clerk

By: /s/ JW Chambers
Elizabeth Garcia
Courtroom Deputy